



Procedure SSO-015

Risk Based Inspection Program – Inspection, Report Development & Distribution

Current Version: 1/27/2025

Scope: This procedure provides a process for performing inspections, both with (announced) and without advanced notice (unannounced), notifications, report development, quality assurance review, and report distribution to the transit agency. In addition, the procedure outlines NJDOT and transit agency responsibilities as well as NJDOT recordkeeping requirements. This procedure was developed in consultation with each transit agency under the jurisdiction of the NJDOT.

Requirement: This procedure is required to comply with the Federal Transit Administration (FTA) Special Directive 22-38 Under 49 U.S.C. § 5329 (k) and 49 CFR Part 670 – The State must develop and implement a risk-based inspection program.

Procedure:

- (1) Monitoring Email Accounts for Inspection Availability Requests & Assignments –**
NJDOT Inspectors will monitor their NJDOT email (for some contractors, they will monitor the email address supplied to the program) for inspection availability requests and Inspection Assignments from the NJDOT Scheduling Coordinator.
 - a. NJDOT Inspectors will promptly acknowledge inspection availability requests and Inspection Assignments sent by the NJDOT Scheduling Coordinator through email within **two (2) business days of receipt**. This acknowledgement will include their availability and/or confirmation of assignment. In addition, the NJDOT Inspector will verify their certifications [contractor on-track safety training, Individual Training Plan (ITP)/Public Transportation Safety Certification Training Program (PTSCTP)] and competencies are current and valid, prior to accepting an assignment, as they are required for accessing facilities to perform inspections. Training, certifications, and competencies are tracked in the NJDOT Technical Training Plan (TTP).
- (2) Recordkeeping –** Assignments are recorded in the “NJDOT RBI Index” and reports are stored on SharePoint and in the ACID database.
- (3) Research & Preparation –** the NJDOT Inspector will conduct thorough research and fully prepare for the inspection. This entails documenting essential information such as the system to be inspected, date and time, the designated point of contact (for announced inspections with advanced notice) and reviewing any available relevant supporting documentation. Supporting documents may include previous inspection reports, standard operating procedures, checklists/forms, investigation reports, etc. This preparation is necessary to ensure that the inspection program accounts for the number, size and complexity of the RFGPTS.

The NJDOT Inspector will review/complete the following:

- a. Review “NJDOT ACID Database” for any previous inspection reports and take note of any documented findings (Safety Concerns, Clarification Requests, & Recommendations) as well as the status of any findings.



- b. Review Minimum Standards for Safety documentation to identify any pertinent procedures/rules, checklists/forms, & photographs/videos.
 - c. Review Inspection objectives and identify any tasks that involve safety risks for field verification. These may encompass activities requiring on-track protection, fall protection, lockout/tagout procedures, specialized personal protective equipment, etc.
 - d. Contact other NJDOT Inspectors (and NJDOT staff) to see if they have any comments, suggestions, or questions.
 - e. Develop any questions to be asked prior to/during the inspection.
- (4) **Cancellations** – The NJDOT Inspector will notify the NJDOT Scheduling Coordinator (or Program Manager in the event the NJDOT Scheduling Coordinator is out of the office) of any cancellations in a timely manner, who will make appropriate notifications to the transit agency in accordance with Procedure SSO-014. The NJDOT will make an effort to notify the rail transit agency of cancellations within a 24-hour timeframe, whenever feasible.
- (5) **Access** - Rail Transit Agencies must provide access to all inspection areas.

At a minimum, the facilities detailed below in Table 1 must be accessible to designated NJDOT Inspectors by keys, codes, data cards, or remote.

Table 1 – Mandatory Access Locations

NJT – HBLR	NJT – NLR	NJT – RiverLINE	DRPA - PATCO
20 Caven Point Avenue, Jersey City, NJ 07305	261 Grove Street, Bloomfield, NJ 07003	700 Beideman Avenue, Camden, NJ 08105	1000 North Carlton Street, Lindenwold, NJ 08020

- (6) **Inspection & Notification Requirements** – The NJDOT has the authority and capability to inspect a wide range of activities, including infrastructure, equipment, records, personnel, and data. This authority includes performing inspections with and without advanced notice. The NJDOT Inspector will report to the inspection location as per the assignment time communicated by the NJDOT Scheduling Coordinator.

Once arrived, the NJDOT Inspector will post arrival time and readiness to perform the inspection on the designated NJDOT messaging service. The NJDOT Inspector will furnish credentials, including identification and badge and sign in at the rail transit agency (announced inspections & unannounced inspections requiring escort) as follows:

System	Sign In Location
PATCO	-
NJ Transit – HBLR	Security Desk, Main Entrance
NJ Transit – NLR	Security Desk, Main Entrance
NJ Transit – RiverLINE	Sign in Log, Main Entrance



- a. For **announced inspections (with advanced notice)**, the NJDOT Inspector will, at a minimum, 1) Notify the rail transit agency Operations Control Center, prior to arrival, 2) Notify the designated point of contact (POC) of their arrival for the announced inspection and meet with the POC.

- b. For **unannounced inspections (without advanced notice)**, there are two categories of access:

- i. **Unsupervised (unrestricted) Access** – Public Spaces within the rail systems and majority of rail facilities, including the maintenance facility*, storage facility, storeroom, etc. These locations do not require an escort or a notification to the transit agency, beyond signing in, if applicable. Examples of public spaces are stations and grade crossings as well as locations along the right-of-way (street running territory, adjacent pathways).

*NJDOT Inspectors will adhere to all Personal Protective Equipment requirements and designated areas (safety zones/walkways).

- ii. **Supervised Access** – Access to non-public spaces and restricted areas of rail system that require an escort due to safety or security reasons. Examples of non-public spaces requiring an escort are the right-of-way (trackway), substations, central instrument houses, confined spaces, boiler rooms, control center, Stock Rooms, Communication Control Rooms, Electrical Distribution Rooms, Compressor Control Rooms, & Elevator Control Rooms, etc.

- (a) Upon arrival, the NJDOT Inspector will notify the Operations Control Center (OCC) that they are on-site for an unannounced inspection and inform them of the scope. OCC contact information is as follows:

NJT – HBLR	NJT – NLR	NJT – RiverLINE	DRPA - PATCO
(201) 209-2555	(973) 566-6770	(856) 580-5656 (5657)	(856) 963-7983

- (b) Upon receiving the telephone notification, the Operations Control Center will acknowledge the NJDOT's presence for the unannounced inspection and make the necessary internal notifications and coordinate an escort.

- (i). During **normal business hours (07:00-17:00 HRS.)**, the transit agency shall provide an escort within **sixty (60) minutes**.

- (ii). During **non-typical business hours (17:01-06:59 HRS.)**, the transit agency shall provide an escort within **one-hundred twenty (120) minutes**.

Note: The rail transit agency shall provide periodic updates (every thirty minutes) when an escort will arrive within the specified time periods.

Note: It is understood that there may be circumstances where an escort may not be available in the time period specified during non-typical business hours. If an escort is not available within the time



period specified, the rail transit agency shall provide an explanation and frequent updates when an escort will arrive.

- (iii). The rail transit agency may verify that the NJDOT Inspector(s) has the appropriate personal protective equipment (PPE), certifications, and training, in compliance with rail transit agency safety protocols and requirements.
- (iv). The rail transit agency will ensure the escort is both qualified and competent to escort the NJDOT Inspector(s).

(7) Failure to Provide Escort or Access – Should the rail transit agency fail to provide the appropriate escort, access to facilities, personnel, or data within the designated timeframes:

- a. The NJDOT Inspector will make a notification in the NJDOT messaging service, notify the Program Manager, and remain at the location until access is provided.
 - i. If access is denied, the NJDOT will record pertinent details such as the name/title of the individual, location, time, and reason for denial.
 - ii. The Program Manager will notify the Chief Safety Officer (or SMS Executive).
 - iii. Once the specified timeframe has expired without an escort provided, the NJDOT reserves the right to issue a Notice of Violation(s) to the rail transit agency in accordance with Procedure SSO-004.

(8) Inspection – The NJDOT Inspector will conduct the inspection, documenting it with notes and, when necessary, photographs and videos.

- a. **Immediate Safety Concern Protocol** - the NJDOT Inspector will report all immediate safety concerns (threat of death or serious physical harm) immediately upon discovery.

Examples of immediate safety concerns are inadequate on-track protection, near-misses (rail vehicle to rail vehicle, including rail work equipment, rail vehicle to workers on the right of way, including a work zone violation or incursion), transit agency personnel working on energized electrical apparatus without proper protections, potentially hazardous electrical wiring/equipment, unprotected sides and edges with the potential for fall hazards (general industry 4', construction 6'), excavation pits without proper protection (shoring, sloping, shielding), personnel accessing confined spaces without air monitoring and/or no attendant, working without proper fall protection/prevention systems, hazardous operation of equipment, etc.

In addition, some defects require immediate reporting to the rail transit agency. Some examples of defects are conditions communication issues, tripping hazards, physical conditions, broken appurtenances, etc.

- i. The NJDOT Inspector will first ensure their safety by relocating to a safe location if necessary.
- ii. Make the following external and internal notifications:

(a) External Notifications



- (i). **Unsupervised Access** – The NJDOT Inspector will report the concern to the Operations Control Center.
 - (ii). **Supervised Access** – The NJDOT Inspector will report the concern to the escort, who will make appropriate internal notifications to the Operations Control Center.
- (b) **Internal Notifications** - The NJDOT Inspector will notify the NJDOT SSO Program Manager and provide the following information:
 - Transit Agency
 - Inspection Activity
 - Location
 - Date/Time of discovery
 - Designated Point of Contact
 - Description of the Immediate Safety Concern
 - Any immediate action or emergency corrective actions
- iii. The NJDOT SSO Program Manager will evaluate the threat and make additional notifications in accordance with the contact information maintained by the NJDOT. In addition, the Program Manager and the NJDOT Inspector will decide if the inspection will continue, be rescheduled (notify Scheduling Coordinator), or be completed, depending on the safety concern(s).

NOTE: all immediate safety concerns are documented in the inspection report and tracked to resolution. In addition, any immediate safety concerns gathered through other means (i.e.: anonymous comment, document review, public comment, etc..) will be formally communicated to the rail transit agency and tracked to resolution.

- (9) **Data Collection** – The NJDOT Inspector will collect relevant documentation during or after the inspection, which may include completed job safety briefing form, sign-in sheets, inspection/checklists, work orders, previous inspection/maintenance records (as necessary), etc. This can be accomplished by either making photocopies or taking photographs.
 - a. **Requests for Information (RFI)** – If the NJDOT Inspector determines that further information or documentation is required to complete the report, the NJDOT Inspector will send an RFI in an email to the transit agency. The NJDOT Inspector will include a response due date. When establishing response due dates, the NJDOT will consider regular working days as well as federal and state holidays.

The rail transit agency will provide the information within the required timeframe or communicate the need for additional time.
 - b. If necessary, the NJDOT SSO program may conduct a meeting to discuss the draft report with the CSO (or SMS Executive).
- (10) **Draft Report Development & Recordkeeping** – the NJDOT Inspector will prepare a draft report using the “ACID Inspection Report Template” form (See Exhibit 1 at the end of this procedure) **within three (3) business days** following the inspection or receipt of requested documentation. The completed form as well as any supporting documentation



(photographs, SOPs, checklists/forms, safety briefing forms, etc.) will be saved to SharePoint.

The report will detail the type of inspection [e.g., Core Inspections and RBI Inspections. In addition, RBI Inspections will be further categorized covering “Inspection of equipment, infrastructure, & practices”, “Event Verification”, “Ongoing Monitoring” (observations of RTA personnel performing their job functions), “Defects and Corrective or Remedial Actions”, “CAP and Safety Risk Mitigation Verification”]. In addition, the report will include, at a minimum, objective data, measurements (when applicable), and photographs to document any issues, deficiencies/defects (for example, practical drift), any remedial action (corrective action taken) noted during the inspection and the determination if inspection/maintenance programs are adhered to (if applicable). The NJDOT Inspector will note any concerns that may not be explicitly covered under existing procedures, practices, or inspection forms. Some inspections require certain elements to be incorporated into the report. For example, Event Verification inspections will include a determination if the transit agency successfully repaired the event scene and whether the transit agency is leveraging data and information collected through investigation activity to determine probable cause and to support the identification of hazards. In addition, Ongoing Monitoring inspections will include a determination if tasks are being completed at the required frequency.

Note: In most cases, the NJDOT will issue a report for each inspection activity. However, sometimes inspection reports will be an aggregate report that combines several inspection activities.

- a. The NJDOT Inspector will detail any findings in the “Findings” section of the “ACID Inspection Report Template”, categorizing them into the below classifications. The report will indicate if a corrective action plan is required.
 - **Deficiency/Safety Concern** – A condition that is a source of hazards and/or allows the perpetuation of hazards in time (*FTA TSI Safety Assurance*). A specific issue or condition that poses a potential risk or threat to the safety and well-being of individuals, groups, or the general public. These concerns can encompass a wide range of potential hazards, such as, but not limited to: Physical, Chemical, Biological, Fire, Structural, Security Concerns, etc. In addition, deviations from established rules and procedures. Additional examples include practical drift and failure to adhere to required inspection/maintenance frequencies.
 - **Clarification Request** – a specific question(s) due to something that is not clear or requires more information.
 - **Recommendations** - typically issued in response to identified deficiencies, safety concerns, or enhancement opportunities. Recommendations are aimed at improving transit agency performance.
- b. The NJDOT Inspector will update the “*NJDOT Inspector Log*” detailing the draft report completion date.



(11) Schedule Internal Quality Assurance (QA) Review with NJDOT Report Review Staff:
The NJDOT Inspector will schedule a review meeting with review staff.

(12) NJDOT Internal QA Review– The NJDOT Inspector and NJDOT Report Review Staff will review the draft report, supporting documentation, and finalize any Findings (Safety Concerns, Clarification Requests, Recommendations) within **five (5) business days** from the date of the draft report development. In addition, the review process will determine if a Corrective Action Plan is required. The NJDOT Report Review Staff will approve the draft report to be added to the NJDOT ACID Database for processing.

- a. **Upload/Transpose Draft Report into NJDOT ACID Database** – Upon approval of the draft by a NJDOT Report Review Staff, the NJDOT Inspector will import (or transpose) the draft report into the NJDOT ACID Database.
- b. The NJDOT Inspector will update the “NJDOT Inspector Log” detailing the **QA/Import Date**.

(13) Weekly Meeting – NJDOT staff will attend the weekly meeting to review & finalize reports with the NJDOT Program Manager (or designee).

- a. Meeting attendees will review the ACID Database and identify any reports that are ready for review. Upon identifying a report that is ready for review, the meeting attendees will review the report, supporting evidence (photographs, SOPs, checklists/forms, etc.) and agree upon any Findings (Safety Concerns, Clarification Requests, Recommendations).

Note: If a follow-up inspection is recommended, the NJDOT Scheduling Coordinator will be notified so that the inspection activity will be put on the “NJDOT RBI Index”.

(14) Report Distribution & Recordkeeping – the NJDOT Program Manager (or designee) will distribute the report to the transit agency within thirty (30) days of the inspection and save all pertinent documentation to SharePoint. See Exhibit 2 for an example of the “Direct Inspection Report”. The NJDOT SSO program or the transit agency may request a meeting to discuss any findings.

- a. If there are **no findings**, the report will be distributed without a response due date and the record is closed.
- b. If there are **findings** (Safety Concern, Clarification Request, Recommendation), the database will automatically indicate “Follow-up Required” and generate a 30-day response timeframe.
- c. The transit agency will respond to reports within the required timeframe or communicate the need for additional time. Responses will detail any remedial actions taken for any deficiencies/safety concerns, including formal CAP development (if applicable), as well as the resolution of any recommendations or responses to clarification requests. The transit agency may request a meeting with the NJDOT to discuss report contents and findings.

An effort must be made by the transit agency to respond in the email chain or ensure that the NJ Tracking # is specified when responding.




Exhibit 1 – ACID Inspection Report Template

Inspection	Details	Format
Inspection Date		xx/xx/xxxx
Direct Inspection Type		drop down menu
Inspector		drop down menu
Service Line		drop down menu
Inspection Start Time		*Military Time (xx:xx)
Inspection End time		*Military Time (xx:xx)
Type_of_Work		Please list the type of work
Track		
Number_of_Crew_Member s		
Designated_Employee_in_C harge		
Location		
Equipment In Use		
Safety Briefing Type		drop down menu
Briefing Location		
Briefing Time		*Military Time (xx:xx)
Personal_Protective_Equip ment		
Method_of_Protection		drop down menu
Watchman/Flagman Names		
Watchman/Flagman Equip ment		
Outage Limits		
Key Observations		
Follow up Needed		drop down menu
Follow Up 1		
Follow Up Category 1		drop down menu
Follow Up 2		
Follow Up Category 2		drop down menu
Follow Up 3		
File_Path		*Add your sharepoint link here so it can be imported into ACID.
Additional Comments		



New Jersey Department of Transportation
State Safety Oversight (SSO) Program Standard
Appendix D – SSO-015

Exhibit 2 – Direct Inspection Report (distributed to transit agency)

	ID <input type="text"/>	SSO Direct Inspection	
	Inspection Date: <input type="text"/>	Start Time: <input type="text"/>	Log Status: <input type="text"/>
	Service Line: <input type="text"/>	End Time: <input type="text"/>	<input type="checkbox"/> <input type="text"/>
Direct Inspection Type: <input type="text"/>			
Inspector: Reviewer: <input type="text"/>			
<input type="text"/>			
<hr/>			
Designated Employee in Charge:		<input type="text"/>	
Type of Work:		<input type="text"/>	
Location:		<input type="text"/>	
Track:		<input type="text"/>	
Equipment In Use:		<input type="text"/>	
Number of Crew Members:		<input type="text"/>	
<hr/>			
Safety Briefing Type: <input type="text"/>		Briefing Time: <input type="text"/>	
Briefing Location:		<input type="text"/>	
PPE:		<input type="text"/>	
Method of Protection:		<input type="text"/>	
Watchman/Flagman Names:		<input type="text"/>	
Watchman/Flagman Equipment:		<input type="text"/>	
Outage Limits:		<input type="text"/>	
<hr/>			
Timed Inspection:			
<hr/>			
Follow Up 1: <input type="text"/>		Follow Up 1 Status: <input type="text"/>	
<input type="text"/>			
Follow Up 2: <input type="text"/>		Follow Up 2 Status: <input type="text"/>	
<input type="text"/>			
Additional Comments:			
<input type="text"/>			
<input type="text"/>			
<div style="border: 1px solid black; padding: 5px;"><p>Any signature (including any electronic symbol or process attached to, or associated with, a contract or other record and adopted by a Person with the intent to sign, authenticate or accept such contract or record) hereto or to any other certificate, agreement or document related to this transaction, and any contract formation or record-keeping through electronic means shall have the same legal validity and enforceability as a manually executed signature or use of a paper-based recordkeeping system to the fullest extent permitted by applicable law, including the Federal Electronic Signatures in Global and National Commerce Act, the New York State Electronic Signatures and Records Act, or any similar state law based on the Uniform Electronic Transactions Act, and the parties hereby waive any objection to the contrary.</p></div>			
Inspector: <input type="text"/>		I consent to signing this document electronically	
Reviewer: <input type="text"/>		I consent to signing this document electronically	
Review Date: <input type="text"/>			



**New Jersey Department of Transportation
State Safety Oversight (SSO) Program Standard
Appendix D – SSO-015**

Update:

- 1/27/2025 – Initial release